

Office of State Treasurer
Summary of Responses to Request for Disclosure
July 1, 2007 through June 30, 2008

Revised 5/7/09

COMPANY NAME	DIVISION	INVESTMENT SERVICES PROVIDER?	PAID 3RD PARTY FEES?	PAYMENT ARRANGEMENTS	COMMENTS
A. C. Advisory, Inc.	DEBT	Yes	No		
ACA Financial Guaranty Corporation	DEBT	Yes	No		
Acacia Financial Group, Inc.	DEBT	Yes	No		
Acadian Asset Management, Inc.	PFM	Yes	No		
ACS Unclaimed Property Clearinghouse, Inc.	UCP	No	No		
Aegis International, Inc.	SIF	No	No		
AEW Capital Management, LP	PFM	Yes	No		
AEW Partners III, LP	PFM	Yes	No		
AIG Altaris Health Partners II, L.P.	PFM	Yes	Yes	Altaris Capital Partners, LLC were paid a management fee of \$600,547.95 pursuant to the limited partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
AIG Altaris Health Partners, L.P.	PFM	Yes	Yes	Altaris Capital Partners, LLC were paid management fees totalling \$812,366.34 pursuant to the limited partnership agreement. Kirkland & Ellis, LLP were paid \$26,958.13 for legal fees related to investment activities.	Vendor identified exemption. Management fees and legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
AIG Financial Products Corp.	DEBT	Yes	No		
AIG Global Emerging Markets Fund, LLC	PFM	Yes	No		
AMBAC Assurance Corporation	DEBT	Yes	No		
American Beacon Advisors, Inc.	CASH	Yes	No		
AMTEC	DEBT	No	No		
Apollo Real Estate Investment Fund III, LP	PFM	Yes	Yes	Apollo Real Estate Advisors III, LP were paid a management fee of \$198,152 pursuant to the limited partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Apple Valley Bank and Trust Company (The)	CASH	Yes	No		
AQR Capital Management, LLC	PFM	Yes	No		
Artio Global Management, LLC (formerly Julius Baer Investment Management, LLC)	PFM	Yes	No		
Ashmore Investment Management Limited	PFM	Yes	No		
Audt Services, US, LLC	UCP	No	No		

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AXA Rosenberg Investment Management	PFM	Yes	No		
Backstrom, McCarley, Berry & Co., LLC	DEBT	Yes	No		
Banc of America Securities, LLC	CASH & DEBT	Yes	No		
Bank of America, N.A.	CASH & DEBT	Yes	No		
Bank of New York (The)	PFM	Yes	No		
Barclays Capital, Inc.	CASH	Yes	No		
Barclays Global Investors, N.A.	PFM	Yes	No		
Bayerische Landesbank	DEBT	Yes	No		
Belle Haven Investments, L.P.	DEBT	Yes	No		
Bivium Capital Partners, LLC	PFM	Yes	Yes	Mosaic Investment Advisors were paid \$37,500 for consulting and marketing services.	Vendor identified exemption. Fees for consulting and marketing services are permissible third party payments. (See C.G.S. § 3-131(b)(3).
BlackRock Financial Management, Inc.	PFM	Yes	No		
BlackRock Investment Management, LLC <i>(formerly Merrill Lynch Investment Managers)</i>	PFM	Yes	No		
Blackstone Capital Partners III Merchant Banking Fund, LP	PFM	Yes	No		
Bond Logistix LLC	DEBT	Yes	No		
Boston Ventures VII, L.P.	PFM	Yes	Yes	Ropes & Gray, LLP were paid \$1,005,495 for legal services. Probitas Funds Group, LLP was paid \$913,840 as placement agent pursuant to the limited partnership agreement.	Vendor identified exemption. Legal fees and placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)(3).
Brown Brothers Harriman & Co.	PFM	Yes	No		
Buchanan Ingersoll & Rooney, PC	EXEC	Yes	No		
Cabrera Capital Markets, Inc.	DEBT	Yes	No		
Canyon-Johnson Urban Fund II, LP	PFM	Yes	No		
Capital Prospects, LLC	PFM	Yes	No		

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Capri Select Income II, LLC	PFM	Yes	Yes	Presido Partners were paid \$360,317.48 as placement agent pursuant to the limited partnership agreement.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3)).
Carlin, Charron & Rosen LLP	DEBT	No	No		
Carlyle Asia Partners, L.P.	PFM	Yes	No		
Carlyle Europe Partners, L.P.	PFM	Yes	No		
CCP Equity Partners	PFM	Yes	No		
Charterhouse Group International, Inc.	PFM	Yes	Yes	CHUSA Equity Managers IV, LLC were paid a management fee of \$1,266,277.13 pursuant to the partnership agreement. Proskauer Rose LLP was paid a total of \$49,223.65 for general legal and due diligence services as legal counsel. Ernst & Young were paid \$71,140.94 to perform accounting and tax due diligence services. Cassels Brock & Blackwell LLP were paid \$13,618.15 for legal services.	Vendor identified exemption. Management fees, legal fees and accounting services are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Citi Smith Barney, Inc.	CASH	Yes	No		
Citibank, N.A.	DEBT	Yes	No		
Citigroup Global Markets, Inc.	DEBT	Yes	Yes	Bryant, Miller & Olive were paid \$17,500 to serve as Underwriters Counsel. Wiggin and Dana were paid \$17,500 to serve as Underwriters Counsel.	Vendor identified exemption. Legal fees, as well as fees related to the issuance of debt, are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Clay Finlay, Inc.	PFM	Yes	No		
Colony Realty Partners II, LP	PFM	Yes	Yes	Diamond Edge Capital Partners, LLC were paid \$119,047.51 as placement agent pursuant to the partnership agreement.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3)).
Community's Bank (The)	CASH	Yes	No		
Compass Partners European Equity Fund	PFM	Yes	No		
Connecticut Bank and Trust Company	CASH	Yes	No		
Connecticut River Community Bank	CASH	Yes	No		

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Connex Credit Union	CASH	Yes	No		
Corby Capital Markets, Inc.	DEBT	Yes	No		
Cornerstone Patriot Fund, LP	PFM	Yes	Yes	Cornerstone Real Estate Advisers, LLC were paid a management fee of \$294,919.38 pursuant to the limited partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Corvel Corporation	SIF	No	No		
Court Square Capital Partners II, LLC	PFM	Yes	No		
Covenant Apartment Fund V (Institutional - B), L.P.	PFM	Yes	Yes	Quince Hill Partners were paid \$240,337.50 as placement agent pursuant to the partnership agreement.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3).
Coventry Health Care Workers' Compensation, Inc.	SIF	No	No		
Credit Suisse Securities (USA) LLC	CASH	Yes	No		
Crescendo Ventures III, LP	PFM	Yes	No		
Crescendo World Fund LLC	PFM	Yes	Yes	Truro Associates, LLC was paid \$293,833.02 (carried interest held in escrow) as set forth in the State Ethics Commission Stipulation and Order, dated July 15, 2002 ("Order").	See "Order" for details of settlement.
CS/CT Cleantech Opportunities Fund, L.P. (DLJ Fund Partners II, L.P)	PFM	Yes	No		
Day Pitney, LLP (formerly Day, Berry & Howard, LLP)	DEBT	Yes	No		
DEPFA First Albany Securities, LLC	DEBT	Yes	No		
Dexia Credit Local	DEBT	Yes	No		
DLJ Merchant Banking Partners II, LP	PFM	Yes	Yes	DLJ MB II was paid a management fee of \$158,445.65 pursuant to the limited partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Edwards, Angell, Palmer & Dodge	DEBT & PFM	Yes	No		
Emerging Markets Management, LLC	PFM	Yes	No		
Estrada, Hinojosa & Company, Inc.	DEBT	Yes	No		
Ethos Private Equity Fund V	PFM	Yes	Yes	Ethos Private Equity Limited earned management fees totaling \$4,702,757.32, but was paid \$3,840,125.94 during the reporting period. (Cumulative management fees deferred totaled \$2,455,904.97 for this period and prior years.)	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2).

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Fairview Capital Partners, Inc. (a.k.a. Fairview Constitution Fund, LP)	PFM	Yes	No		
Fairview Constitution Fund II, LP	PFM	Yes	No		
Fairview Constitution Fund III, LP	PFM	Yes	No		
Fifth Third Securities, Inc.	CASH	Yes	No		
Financial Guaranty Insurance Company (FGIC)	DEBT	Yes	No		
Financial Security Assurance, Inc.	DEBT	Yes	No		
Finn Dixon & Herling LLP	DEBT	Yes	No		
First Southwest Company	DEBT	Yes	No		
FIS Group, Inc.	PFM	Yes	No		
Forstmann Little Equity VI	PFM	Yes	No		
Forstmann Little MBO VII	PFM	Yes	No		
Franklin Park Associates, LLC	PFM	Yes	No		
FS Equity Partners V, LP	PFM	Yes	No		
Garmark Partners, LP	PFM	Yes	No		
GarMark Partners II, L.P.	PFM	Yes	No		
Gates Capital Corporation	DEBT	Yes	No		
GE Capital Corporation	CASH	Yes	No		
Gilbert Global Equity Partners, L.P.	PFM	Yes	Yes	Gilbert Global Equity Partners were paid a management fee of \$117,030 pursuant to the limited partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Goldman Sachs & Co.	CASH & DEBT	Yes	No		
Goldman, Sachs Private Equity Fund	PFM	Yes	No		
Gonzalez, Saggio & Harlan, LLP	PFM	Yes	No		
Goodwin Capital Advisers, Inc.	PFM	Yes	No		
Grant & Eisenhofer, PA	PFM	Yes	No		
Grantham, Mayo, Van Otterloo & Co.	PFM	Yes	No		

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Great Pacific Securities	CASH	Yes	No		
Green Equity Investors, III, L.P.	PFM	Yes	Yes	Gibson Dunn & Crutcher were paid \$3,364.00 for legal services. Latham & Watkins were paid \$733,344.21 for legal services. KPMG LLP was paid \$57,185.00 for accounting services. Wolf Block was paid \$10,000.00 for legal services.	Vendor identified exemption. Legal fees and accounting services are permissible third party payments (See C.G.S. § 3-131(b)(2)).
Greenwich Street Capital Partners II, L.P.	PFM	Yes	No		
Grigsby & Associates, Inc.	DEBT	Yes	No		
Groom Law Group, Chartered	PFM	Yes	No		
Grotech Partners V, L.P.	PFM	Yes	Yes	Grotech Management Company was paid a management fee of \$896,381 pursuant to the limited partnership agreement.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Guilford Savings Bank (The)	CASH	Yes	No		
Hardwick Law Firm, LLC	DEBT	Yes	No		
Hartford Investment Management Company	PFM	Yes	No		
Hawkins, Delafield & Wood, LLP	DEBT	Yes	No		
Hicks, Muse, Tate & Furst Equity Fund III, LP	PFM	Yes	No		
Hunton & Williams, LLP	DEBT	Yes	No		
ICV Capital Partners II, LP	PFM	Yes	No		
IL&FS India Realty Fund II, LLC	PFM	Yes	No		
ImageMaster, Inc.	DEBT	No	No		
IMoneyNet	CASH	Yes	No		
Independent Fiduciary Services, Inc.	PFM	Yes	No		
Institutional Shareholder Services, Inc.	PFM	No	No		
Invesco Global Asset Management (N.A.), Inc.	PFM	Yes	No		

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Jackson Securities LLC	DEBT	Yes	No		
JP Morgan Chase Bank, NA	CASH	Yes	No		
JP Morgan Securities, Inc.	CASH & DEBT	Yes	Yes	<p><u>Underwriter's Counsel</u></p> <ul style="list-style-type: none"> - Tobin Carberry O'Malley Riley & Selinger, P.C. were paid \$50,100. - Updike, Kelly & Spellacy were paid \$60,000. - Gonzalez, Saggio & Harlan, LLP were paid \$60,000. - Squire, Sanders & Dempsey L.L.P. were paid \$115,300 (2 payments). - Mintz, Levin, Cohn, Ferris, Glovsky and Popeo, P.C. were paid \$30,000. <p><u>Legal Services</u></p> <ul style="list-style-type: none"> - Sidley Austin LLP was paid \$8,000. - Arendt & Medernach were paid \$11,000. 	Vendor identified exemption. Legal fees, as well as fees related to the issuance of debt, are permissible third party payments. (See C.G.S. § 3-131(b)(2).)
Kaplan, Fox & Kilsheimer, LLP	PFM	Yes	No		
Kelso Investment Associates VI, L.P.	PFM	Yes	Yes	<p>Deloitte & Touche were paid \$264,750 to perform accounting services.</p> <p>Debevoise & Plimpton were paid \$48,170 for legal services.</p> <p>Skadden, Arps, Slate, Meagher & Flom were paid \$12,750 for legal services.</p>	Vendor identified exemption. Legal fees and accounting services are permissible third party payments. (See C.G.S. § 3-131(b)(2).)
KKR 2006 Fund	PFM	Yes	No		
KKR Millennium Fund	PFM	Yes	No		
Kohlberg Kravis Roberts 1996 Fund (KKR)	PFM	Yes	No		
Korn Ferry International	EXEC	Yes	No		
KPS Special Situations Fund II, LP	PFM	Yes	No		
Labaton Sucharow, LLP	PFM	Yes	No		
Lamont Financial Services Corporation	DEBT	Yes	No		
Landesbank Hessen-Thuringen	DEBT	Yes	No		

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Landmark Partners, Inc.	PFM	Yes	No		
Law Offices of Joseph C. Reid, P.A.	DEBT	Yes	No		
Lehman Brothers, Inc.	CASH & DEBT	Yes			Lehman Brothers Holdings Inc. has filed for bankruptcy protection in the U.S. As a result, Lehman Brothers Inc., its subsidiary, did not provide a third party fee affidavit for the period ending June 30, 2008.
Levine Leichtman Capital Partners, Inc.	PFM	Yes	No		
Levy & Dronney, P.C.	DEBT	Yes	No		
Lewis & Munday, P.C.	DEBT	Yes	No		
Lexington Capital Partners II, L.P.	PFM	Yes	No		
Litchfield Bancorp	CASH	Yes	No		
Loomis, Sayles & Company, L.P.	PFM	Yes	No		
Loop Capital Markets, LLC	CASH & DEBT	Yes	No		
M.R. Beal & Company	DEBT	Yes	No		
MacFarlane Urban Real Estate Fund II, LP	PFM	Yes	Yes	C.P. Eaton Partners, LLC were paid \$4,887,342 as placement agent pursuant to the partnership agreement. Paul, Hastings, Janofsky & Walker LLP were paid \$1,240,862 for legal services.	Vendor identified exemption. Legal fees, as well as placement agent fees, are permissible third party payments (See C.G.S. § 3-131(b)(2)(3)).
MBIA, Inc.	DEBT	Yes	No		
McCarter & English, LLP	PFM	Yes	No		
MCMC, LLC	SIF	No	No		
Melvin Securities, LLC	DEBT	Yes	No		
Mercer Investment Consulting	PFM	Yes	No		
Merrill Lynch & Co.	CASH & DEBT	Yes	No		
MFS Institutional Advisors, Inc.	PFM	Yes	No		
Milestone Capital Management	CASH	Yes	No		

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Morgan Stanley & Co. Incorporated	CASH & DEBT	Yes	Yes	Bryant Miller Olive were paid \$17,500 for legal services. Wiggin & Dana were paid \$17,500 for legal services.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Muller & Monroe Asset Management, LLC	PFM	Yes	Yes	Knowles Hall Consulting was paid \$129,333.34 for placement agent services. Muller & Monroe Asset Management, LLC were paid \$331,050.22 for investment management services. Schiff Hardin LLP was paid \$54,948.30 for legal services.	Vendor identified exemption. Management fees, placement agent and legal services, are permissible third party payments. (See C.G.S. § 3-131(b)(2)(3)).
Natixis Funding Corp.	DEBT	Yes	No		
Naugatuck Savings Bank	CASH	Yes	No		
New Boston Individual and Institutional Investment Fund IV, LP (a.k.a. AEW Trust 221)	PFM	Yes	No		
New Boston Urban Strategy America Fund, LP	PFM	Yes	No		
New England Pension Consultants (NEPC)	PFM	Yes	No		
Nixon Peabody, LLP	DEBT	Yes	No		
Nogales Investors Fund II, LP	PFM	Yes	Yes	DAV/Wetherly Financial, LP was paid \$208,333.35 as placement agent pursuant to the limited partnership agreement.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3)).
Northwest Community Bank	CASH	Yes	No		
Oaktree Capital Management, LLC	PFM	Yes	Yes	Mellon Trust, N.A. was paid \$21,000 for back-office services (e.g. accounting, reconciliation, settlement, etc.). Institutional Shareholder Services was paid \$7,838 in connection with the Northern Ireland service update list. CSAG was paid \$8,500 for global security risk monitoring services.	Vendor identified exemption. Fees for back-office and research services are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Orrick, Herrington & Sutcliffe, LLP	DEBT	Yes	No		
P.G. Corbin & Company, Inc.	DEBT	Yes	No		

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Parish Capital Advisors (Buyout) Fund II, LLC	PFM	Yes	Yes	Ernst & Young, LLP were paid \$44,489 for audit services. Robinson, Bradshaw & Hinson were paid \$127,974 for legal services. Parish Capital Advisors, LLP were paid a management fee of \$1,088,711 pursuant to the partnership agreement.	Vendor identified exemption. Management fees, legal fees and audit services, are all permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Parish Capital Advisors I, LLC	PFM	Yes	Yes	Juniper Capital Group, LLC was paid \$27,500 as placement agent. Ernst & Young, LLP were paid \$115,615 for audit and tax services. Robinson Bradshaw & Hinson were paid \$65,219 for legal services. Parish Capital Advisors, LLP was paid a management fee of \$464,388 pursuant to the partnership agreement.	Vendor identified exemption. Placement agent, legal, management fees and accounting services are all permissible third party payments. (See C.G.S. § 3-131(b)(2)(3)).
Pegasus Capital Advisors, LP	PFM	Yes	Yes	Park Hill was paid placement agent fees totalling \$7,000,000 pursuant to the limited partnership agreement.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3)).
People's United Bank	CASH	No	No		
Pepe & Hazard, LLP	PFM	Yes	No		
Phoenix Capital Partners, LLP	DEBT	Yes	No		
Prager Sealy & Co., LLC	DEBT	Yes	No		
Progress Investment Management Co.	PFM	Yes	No		
Public Resources Advisory Group, Inc.	DEBT	Yes	Yes	Milliman Consultants & Actuaries were paid \$21,648.75 for actuarial services in connection with the State of Connecticut pension obligation bond issue.	Vendor identified exemption. Fees related to the issuance of debt are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Pullman & Comley, LLC	DEBT	Yes	No		
Pyramis Global Advisors Trust Company (formerly Fidelity Management Trust Company)	PFM	Yes	No		
Ramirez & Co., Inc.	DEBT	Yes	No		
Raymond James & Associates, Inc.	CASH & DEBT	Yes	No		

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RBC Capital Markets Corporation (formerly RBC Dain Rauscher, Inc.)	DEBT	Yes	No		
RBS Citizens Bank, NA	CASH	Yes	No		
Reich & Tang Asset Management, L.P.	DEBT	Yes	Yes	Reich & Tang Asset Management LLC were paid \$598,469 for investment management services.	Vendor identified exemption. Management fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
Reinhart, Boerner, Van Deuren, sc	PFM	Yes	No		
RFE Investment Partners VI, L.P.	PFM	Yes	No		
Rice Financial Products Company (formerly Apex Securities, Inc.)	CASH & DEBT	Yes	No		
RLJ Lodging Fund II, L.P.	PFM	Yes	Yes	Presido Partners were paid \$375,000 as placement agent pursuant to the partnership agreement.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3)).
RLJ Real Estate Fund III, LP	PFM	Yes	Yes	Presido Partners, LLC were paid \$3,552,199.16 as placement agent pursuant to the partnership agreement. Presido Partners, LLC were paid a cost reimbursement of \$12,992.30. Jones Day was paid \$13,388 for legal services.	Vendor identified exemption. Placement agent and legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)(3)).
RLJ Urban Lodging Fund, L.P.	PFM	Yes	No		
Robinson & Cole, LLP	DEBT	Yes	No		
Rockwood Capital Real Estate Partners Fund V, LP	PFM	Yes	No		
Rockwood Capital Real Estate Partners Fund VI, LP	PFM	Yes	No		
Rockwood Capital Real Estate Partners Fund VII, LP	PFM	Yes	No		
Rogerscasey, Inc.	PFM	Yes	No		
Roosevelt & Cross, Incorporated	DEBT	Yes	No		
SBK-Brooks Investment Corp.	DEBT	Yes	No		
Schatz Nobel Izard, PC	PFM	Yes	No		
Schroder Investment Management, North America, Inc.	PFM	Yes	No		
Scott + Scott Attorneys at Law	PFM	Yes	No		

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SCP Private Equity Partners, LP	PFM	Yes	No		
Security Services of Connecticut, Inc.	SIF	No	No		
Shawmut Capital Partners, LP	PFM	Yes	No		
Shenkman Capital Management, Inc.	PFM	Yes	No		
Shipman & Goodwin, LLP	DEBT & PFM	Yes	No		
Siebert Brandford Shank Co., LLC	DEBT	Yes	Yes	<p>Premiere Global was paid \$342.92 per minute for conference calling services.</p> <p>Standard & Poor's were paid \$947.00 per bond for cusip numbers.</p> <p>Stan Adler - was paid \$40,825 per ad for Advertising services.</p> <p>Gonzale, Saggio & Harlan LLP were paid \$35,000.00 for legal services.</p> <p>MSRB - Regulatory agency fees of \$15,812.55 paid per bond.</p> <p>SIMFA Industry Association - paid \$15,812.55 per bond.</p> <p>I-Deal was paid \$40,251.38 per bond for software services related to the sale of the bonds.</p>	Vendor identified exemption. Fees related to the issuance of debt are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
SMBC Capital Markets, Inc.	DEBT	Yes	No		
Societe Generale	CASH & DEBT	Yes	No		
Soeder & Associates LLC	DEBT	Yes	No		

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Squire, Sanders & Dempsey LLP	DEBT	Yes	No		
Starwood Global Opportunity Fund VII, LP	PFM	Yes	Yes	<p><u>Consulting Services</u></p> <ul style="list-style-type: none"> - Akerman Senterfitt - \$36,868.50. - Chatham Financial Corp. - \$10,463.00. - Chicago Title Insurance Co. - \$990.00. - Environmental Consulting & Management - \$3,150.00. - Enviro-Sciences, Inc. - \$21,201.25. - Espace - \$2,945.20. - Heller Ehrman, LLP - \$20,261.50. - Kirkpatrick, Lockhart, Preston Gates, LLP - \$165.00.00. - Terence J. Hatton - \$8,000.00. - Troy Y. Natera - \$3,461.50. <p><u>Legal Services</u></p> <ul style="list-style-type: none"> - Haynes and Boone, LLP - \$55,189.59. - Kirkland & Ellis LLP - \$3,559.76. - Mayer, Brown, Rowe & Mew - \$98,326.72. - Paul, Hastings, Janofsky & Walker LLP - \$1,792.50. - Pircher, Nichols & Meeks - \$47,238.96. - Rinaldi, Finkelstein & Franklin, LLC - \$1,119,240.11. - Schulte Roth & Zabel LLP - \$13,333.98. - Sidley Austin, LLP - \$3,749.10. - Smith Brandon International, Inc. - \$35,625.00. - White & Case - \$570,433.77. <p><u>Accounting Services</u></p> <ul style="list-style-type: none"> - Deloitte Tax LLP - \$4,900.00. - Ernst & Young - \$194,447.00. - Ernst & Young Private Limited - \$14,492.14. - Frydland Stevens, LLC - \$459,329.95. - Lubbockfine Chartered Accountants - \$12,881.79. - PriceWaterhouseCoopers LLP - \$700,386.03. 	Vendor identified exemption. Legal fees, consulting and accounting services are permissible third party payments. (See C.G.S. § 3-131(b)(2).
State Street Bank & Trust Company	CASH & PFM	Yes	No		
State Street Global Advisors	PFM	Yes	No		
Sterne, Agee & Leach, Inc.	DEBT	Yes	No		

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Stifel Nicolaus & Company, Inc.	CASH	Yes	No		
Stone Harbor Investment Partners, LP	PFM	Yes	No		
Sturdivant & Co.	DEBT	Yes	No		
Suntrust Capital Markets	CASH	Yes	No		
SW Pelham Fund II, LP	PFM	Yes	Yes	<p>Pricewaterhouse Coopers were paid \$62,358 for audit, tax preparation and specialized accounting services.</p> <p>Shipman & Goodwin LLP were paid \$23,837.54 for legal services.</p> <p>Citi Private Equity Services (BISYS, Inc.) was paid \$75,597.56 for back-office support for fund accounting and reporting.</p> <p>Skadden, Arps, Slate, Meagher & Flom, LLP were paid \$513,882.18 for legal services.</p>	Vendor identified exemption. Legal fees and accounting services are permissible third party payments. (See C.G.S. § 3-131(b)(2).)
SW Pelham Fund, L.P	PFM	Yes	Yes	<p>Pricewaterhouse Coopers were paid \$25,875 for audit, tax preparation and specialized accounting services.</p> <p>Shipman & Goodwin LLP were paid \$24,834.50 for legal services.</p> <p>Gaims, Weil, West & Epstein were paid \$6,834.47 for legal services.</p>	Vendor identified exemption. Legal fees and accounting services are permissible third party payments. (See C.G.S. § 3-131(b)(2).)

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Syncom Management Company, Inc.	PFM	Yes	Yes	Wilmer, Cutler, Pickering, Hale and Dorr, LLP were paid \$88,913.49 for legal services. DAV/Wetherly Financial, LP was paid \$826,787.23 as placement agent pursuant to the partnership agreement.	Vendor identified exemption. Legal fees and placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)(3).
TCW Asset Management Company (Trust Company of the West)	PFM	Yes	No		
TD Banknorth, N.A.	CASH	Yes	No		
TH Lee Equity Fund IV, LLC	PFM	Yes	No		
TH Lee VI	PFM	Yes	No		
Thayer Equity Investors IV, LP	PFM	Yes	Yes	<u>Legal Services</u> Chapman & Cutler - \$15,329.00. DLA Piper US, LLP - \$240.68 Greenberg Traurig - \$16,703.86. Hogan & Hartson, LLP - \$8,491.25. Kirkland & Ellis, LLP - \$140,951.28. Latham & Watkins LLP - \$105,000.00. Law Weathers & Richardson - \$9,860.00. Spencer Fane Britt & Browne - \$144.00. Williams & Connolly - \$251,853.40. CIBC was paid \$528,452.50 for banking services. Kurt Rasmussen - Consulting was paid \$12,320 for consulting services. PriceWaterHouseCoopers, LLC were paid \$151,986.00 for accounting services..	Vendor identified exemption. All are permissible third party payments. (See C.G.S. § 3-131(b)(2).
The Townsend Group	PFM	Yes	No		
TIAA-CREF Tuition Financing, Inc.	EXEC	Yes	Yes	Sutherland, Asbill & Brennan, LLP were paid \$38,401.39 for legal services in connection with the CHET program. Pricewaterhouse Coopers was paid \$37,513.60 for auditing services.	Vendor identified exemption. Legal fees and accounting services are permissible third party payments. (See C.G.S. § 3-131(b)(2).
Trinity Plus Funding Co., LLC	DEBT	Yes	No		

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U.S. Bank National Association	DEBT	No	Yes	Shipman & Goodwin, LLP were paid \$1,390.20 for legal services. Pullman & Comley, LLC were paid \$6,438 for legal services.	Vendor identified exemption. Legal fees are permissible third party payments. (See C.G.S. § 3-131(b)(2)).
UBS Financial Services, Inc.	CASH	Yes	No		
UBS Global Asset Management (Americas), Inc.	PFM	Yes	No		
UBS Investment Bank (formerly UBS Securities, LLC)	DEBT	Yes	No		
Updike, Kelly & Spellacy, P.C.	DEBT	Yes	No		
Veritas Capital Fund, L.P.	PFM	Yes	No		
Vining Sparks	CASH	Yes	No		
Vista Equity Partners III, LLC	PFM	Yes	Yes	Diamond Edge Capital Partners, LLC were paid \$62,500 as placement agent pursuant to the partnership agreement.	Vendor identified exemption. Placement agent fees are permissible third party payments. (See C.G.S. § 3-131(b)(3)).
Wachovia Bank, N.A.	CASH & DEBT	Yes	No		
Wachovia Capital Markets	CASH	Yes	No		
Walton Street Real Estate Fund II, LP	PFM	Yes	No		
Webster Bank, N.A.	CASH & DEBT	Yes	No		
Wellington Management Company	PFM	Yes	Yes	Mercer Investment Consulting was paid \$1,520.50 to perform a salary study.	Payments are permissible.
Wells Fargo Brokerage Services, LLC	CASH	Yes	No		
Wellspring Capital Partners II, LP	PFM	Yes	No		
Wellspring Capital Partners III, LP	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund III, LP	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund VIII, LP	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund X, LP	PFM	Yes	No		
Welsh Carson Anderson & Stowe Fund XI, LP	PFM	Yes	No		
West LB AG	DEBT	Yes	No		
Western Asset Management Company	PFM	Yes	No		

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Westport Senior Living Investment Fund, LP	PFM	Yes	No		
Westrock Capital Management, Inc.	DEBT	Yes	No		
William Blair and Co.	DEBT	Yes	No		
Windsor Federal Savings and Loan Association	CASH	Yes	No		